

Retention and Classification Report

Agency: Labor Commission (525)

160 E. 300 So.
Salt Lake City, UT 84111
801-538-6814

Records Officer Sara Danielson

| | |
|-------|--|
| 25118 | Accounts Payable - Administrative |
| 01286 | Administrative records |
| 18097 | Biennial reports |
| 82525 | Cancelled or expired insurance coverage closed investigation |
| 28522 | Cash receipt logs and bank reconciliations |
| 19506 | Commission and appeals board decisions |
| 23348 | Contested Case Files II |
| 18105 | Correspondence |
| 82520 | Deleted self insured company files |
| 00712 | Employer system |
| 81272 | Employer's re-insurance fund cases on appeal |
| 82518 | Extra-territorial insurance records |
| 80723 | Final payment files |
| 81192 | Future payment files |
| 14200 | Labor hearings, decisions, and certification records |
| 22961 | Laws, rules and regulations |
| 06817 | Leave application files |
| 80716 | Lump sum payment files |
| 82913 | No insurance coverage investigation case files |
| 81186 | No liability case files |
| 81380 | Office files card index |
| 22962 | On-the-job newsletters |
| 81538 | Payroll automated system reports |
| 06822 | Policies and procedures files |
| 10836 | Publications |
| 28521 | Purchasing card and travel card reconciliations |
| 81273 | Reimbursement case files |
| 82519 | Self-insured company files |
| 82521 | Thirty-days-in-advance notices of cancellations of workers' |
| 28523 | Travel card reconciliations |
| 82906 | Uninsured employer fund cases on appeal |

| | |
|-------|---|
| 19967 | Voucher registers |
| 82516 | Workers' compensation insurance carrier cards |
| 82517 | Workers' compensation insurance information automated dat |

AGENCY: Labor Commission

SERIES: 25118

3

TITLE: Accounts Payable - Administrative

DATES: 1998-

ARRANGEMENT: Alphabetical by vendor name.

DESCRIPTION:

Records processed through the state accounting system that document the expenditure of cash and the appropriate supporting information. Includes payment invoices and purchasing records.

RETENTION:

Retain 7 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 53.

AUTHORIZED: 06/17/2003

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

Administrative Fiscal

This disposition is based on state general retention schedule item 7-53.

AGENCY: Labor Commission

SERIES: 25118

TITLE: Accounts Payable - Administrative

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 1286

3

TITLE: Administrative records

DATES: 1917-

ARRANGEMENT: Alphabetical by division, thereunder chronological by date

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These records provide a record of communication between the Commissioner and the various divisions within the Labor Commission. The material reflects the history of the Labor Commission. The files contain correspondence, reports, studies, agreements, organizational charts, policies and procedures, statistical information, minutes, etc.

RETENTION:

Retain 10 years.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 61.

AUTHORIZED: 03/31/2015

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then transfer to State Archives with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

AGENCY: Labor Commission

SERIES: 1286

TITLE: Administrative records

(continued)

APPRAISAL:

Administrative Historical

This disposition is based on the historical value of the series.

While portions of the material are duplicated at the division level, this series would provide a complete history of the Office of the Commissioner.

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 18097

3

TITLE: Biennial reports

DATES: 1917-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

Any record, regardless of format, that is issued by a governmental entity for public distribution at the total or partial expense of that governmental entity. See Utah Code Section 9-7-101 8(a)(b) (2010) and 9-7-208 (2006)

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: //

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

APPRAISAL:

Historical

Publications document agency history and functions. Publications have ongoing research value.

AGENCY: Labor Commission

SERIES: 18097

TITLE: Biennial reports

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 82525

3

TITLE: Cancelled or expired insurance coverage closed investigation files

DATES: 1950-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These files document companies whose workers' compensation insurance policies expired or were canceled and who were thus not covered by workers' compensation insurance. These cases were followed by an examination of the company and the reason for no coverage was determined. This can be the case if a company has not paid its premiums, has gone out of business, or has changed policies or names and has not informed the Uninsured Employers' Fund. The files include the name(s) of the company, the names of past and present insurance carriers, the reasons for no coverage, and all related correspondence.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 15 years and then destroy.

APPRAISAL:

Administrative

This retention is based on agency needs per agency request.

AGENCY: Labor Commission

SERIES: 28522

3

TITLE: Cash receipt logs and bank reconciliations

DATES: 2005-

ARRANGEMENT: Chronologically

ANNUAL ACCUMULATION:

DESCRIPTION:

These records include cash receipt logs, which document cash payments made to the agency for services rendered, such as providing inspections of elevators, boilers, or pressure vessels, collecting unpaid wages, and processing non-compliance fees assessed by Utah's Occupational Safety and Health Administration (OSHA) or by the Division of Industrial Accidents. The records also include bank reconciliation statements, which show the monthly deposits and reconciliation of the cash receipt logs.

RETENTION:

Retain 3 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 9.

AUTHORIZED: 06/05/2014

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

Administrative Fiscal

AGENCY: Labor Commission

SERIES: 28522

TITLE: Cash receipt logs and bank reconciliations

(continued)

PRIMARY CLASSIFICATION:

Public

Utah Code 63G-2-301(3)(e) 2014

AGENCY: Labor Commission

SERIES: 19506

3

TITLE: Commission and appeals board decisions

DATES: 1982-1999

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

These records provide a record of the final decisions of Administrative Law Judge's (ALJ), Labor Commission and Appeals Board in Worker's Compensation, Occupational Disease, Occupational Safety and Health, Employment Discrimination, Fair Housing and Wage Claim cases. The series consists of the final decision issued by the ALJ's, The Commission or Appeals Board and may contain the name and addresses of the parties involved, social security numbers, and summary of medical information. These final decisions and all supporting documentation are retained for 75 years under series 82227, Contested case files and series 14657, Compensation agreements.

RETENTION:

Retain 10 years.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 02/1998

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until case is closed and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

AGENCY: Labor Commission

SERIES: 19506

TITLE: Commission and appeals board decisions

(continued)

APPRAISAL:

Administrative Historical Legal

This disposition is based on the historical value of the material in documenting the decisions of the Commission and to meet the requirements of Utah Code 34A-1-104 and Utah Code 34A-1-402.

PRIMARY CLASSIFICATION:

Public

SECONDARY CLASSIFICATION(S):

Private

AGENCY: Labor Commission

SERIES: 23348

3

TITLE: Contested Case Files II

DATES: 2000-

ARRANGEMENT:

ANNUAL ACCUMULATION: 10.00 cubic feet.

DESCRIPTION:

This series consists of contested cases brought by injured workers for workers compensation benefits. These benefits are to be paid by statutorily created funds: Uninsured Employers Fund or the Employers Reinsurance Fund. Information in this series includes pleadings, depositions, attorney work product, discovery documents and orders. These cases may be reopened at any time until the death of the injured worker.

RETENTION:

Retain 75 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 02/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 6 months after after case closes and then transfer to State Records Center. Retain in State Records Center for 80 months and then destroy.

Video recordings master: Retain in Office for 6 months and then transfer to State Records Center. Retain in State Records Center for 80 months and then destroy.

Audio cassettes: Retain in Office for 6 months and then transfer

AGENCY: Labor Commission

SERIES: 23348

TITLE: Contested Case Files II

(continued)

to State Records Center. Retain in State Records Center for 80 months and then destroy.

APPRAISAL:

Legal

Retention is based on the fact that employee has the right to seek additional benefits at any time throughout their lives.

There is no statute of limitations for these injuries.

PRIMARY CLASSIFICATION:

Private

AGENCY: Labor Commission

SERIES: 18105

3

TITLE: Correspondence

DATES: 1977-

ARRANGEMENT: Chronological by date, thereunder alphabetical by commission member

ANNUAL ACCUMULATION:

DESCRIPTION:

According to microfilm title may include miscellaneous correspondence from county attorneys.

RETENTION:

Retain 1 year.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 74.

AUTHORIZED: 08/19/2015

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Archives with authority to weed.

APPRAISAL:

Historical

Correspondence documents the administration or management of the office organization, it's policies, procedures and achievements.

AGENCY: Labor Commission

SERIES: 18105

TITLE: Correspondence

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 82520

3

TITLE: Deleted self insured company files

DATES: 1950-

ARRANGEMENT: Alphabetical by name of company

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These files document companies who have been self insured for workers' compensation coverage, but are no longer. They include information regarding the company, such as types of operation and annual reports; statistical information regarding the number of employees and number of accidents per year; the dates of self-insurance; the date self insurance was canceled; and all related correspondence.

RETENTION:

Retain 45 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 42 years and then destroy.

APPRAISAL:

Administrative

This retention is based on agency needs per agency request.

AGENCY: Labor Commission

SERIES: 82520

TITLE: Deleted self insured company files

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 712

3

TITLE: Employer system

DATES: 1987-

ARRANGEMENT: Numerical by employer/UI number

ANNUAL ACCUMULATION:

DESCRIPTION:

This system keeps track of the employer and the employers' workers' compensation insurance and injuries, accidents, wage claims, elevator and boiler inspections and any discrimination violations. Some of the information generated has a major effect on the productivity of the employer and the well being of the employees. The intent of the system is to keep track of the Utah employer, their subsidiaries and their employees.

This series includes but is not limited to the number of employees, location of the business, safety compliance, discrimination information regarding employees, employees reporting injuries, employers with Workers' Compensation coverage, number of employees paid for disabling injuries and the length of time they receive compensation.

RETENTION:

Retain 75 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 11, Item 35.

AUTHORIZED: 08/01/2013

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 73 years and

AGENCY: Labor Commission

SERIES: 712

TITLE: Employer system

(continued)

then destroy.

APPRAISAL:

Administrative Legal

PRIMARY CLASSIFICATION:

Private

AGENCY: Labor Commission

SERIES: 81272

3

TITLE: Employer's re-insurance fund cases on appeal

DATES: 1970-

ARRANGEMENT: Alphabetical by last name

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

These documents are generated by the Employer's Re-Insurance Fund. When a disabled worker's employer payment end, the re-insurance payment begins. This program is authorized by UCA 34-A-2-702. These files document cases in which an individual was considered ineligible in a court hearing for reimbursement for an industrial accident who is now contesting that decision. Once a decision is reached by the Court of Appeals regarding the case, the file is moved to a new location, such as the No Liability Files. The files include a description of the injury and how it occurred, medical reports, a request for preliminary hearing, hearing notices, affidavits, a summary of testimony heard at the hearing, the administrator's notes from the hearing, and an order from the Industrial Commission.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until Utah Court of Appeals decision has been made and then transfer under new retention.

APPRAISAL:

Administrative

AGENCY: Labor Commission

SERIES: 81272

TITLE: Employer's re-insurance fund cases on appeal

(continued)

PRIMARY CLASSIFICATION:

Public hearing decisions, orders from the Commission

SECONDARY CLASSIFICATION(S):

Private. all information not otherwise specified

Controlled. psychiatric reports, judges' notes

AGENCY: Labor Commission

SERIES: 82518

3

TITLE: Extra-territorial insurance records

DATES: 1985-

ARRANGEMENT: alphabetical by name of company, thereunder chronological

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These files document Utah companies which set up temporary projects out of state, hiring only Utah workers. These companies receive Workers' Compensation coverage from within Utah for six month periods which are renewable. This is a single sheet verifying that the employer does indeed have coverage through the state of Utah if there are any questions or disputes. Includes name of company, name of insurance carrier, statement that insurance is valid outside the state of Utah, signature of insurance carrier's authorized agent, and policy number.

RETENTION:

Retain 15 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 15 years and then destroy.

APPRAISAL:

Administrative

This retention is based on agency needs per agency request.

AGENCY: Labor Commission

SERIES: 82518

TITLE: Extra-territorial insurance records

(continued)

AGENCY: Labor Commission

SERIES: 80723

3

TITLE: Final payment files

DATES: 1950-

ARRANGEMENT: Alphabetical by last name

ANNUAL ACCUMULATION: 1.50 cubic feet.

DESCRIPTION:

These files document cases in which an individual was on the payroll for injury resulting from an industrial accident and has received their final payment. Once final payment is disbursed, the file is taken from the active payroll file and refiled in the final payment files. They include a description of the injury and how it occurred, medical reports, a request for hearing, hearing notices, stipulated settlements or compensation agreements, an order of payment from the Industrial Commission, reimbursement of carrier notices, affidavits, a summary of testimony heard at hearing, and administrator's notes from the hearing.

RETENTION:

Retain 20 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1998

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after final payment is made and then transfer to State Records Center. Retain in State Records Center for 18 years and then destroy.

AGENCY: Labor Commission

SERIES: 80723

TITLE: Final payment files

(continued)

APPRAISAL:

Administrative

This retention is based on agency needs per agency request.

PRIMARY CLASSIFICATION:

Public hearing decisions, orders from the Commission

SECONDARY CLASSIFICATION(S):

Private. all information not specified otherwise

Controlled. psychiatric information, judges' notes

AGENCY: Labor Commission

SERIES: 81192

3

TITLE: Future payment files

DATES: 1970-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 0.80 cubic feet.

DESCRIPTION:

These files document cases where an individual has been awarded compensation for injury or illness sustained at the work place but will not receive payment until a later date. When the diared date is reached, payment will be made, or the date rescheduled due to an appeal. The checks may be disbursed as a lump sum or as payroll. At time of payment, the file is moved to the lump sum files (series 80716) or to the payroll files (series 81181). In the event payment is to be made to the insurance carrier as a reimbursement, the file is maintained until a notice for reimbursement is received. If this is the case, the file is moved to the Insurance Carrier files (series 81271). This series includes a description of the injury and how it occurred, medical reports, a request for hearing, a hearing notice, affidavits, a summary of testimony heard at the hearing, and administrator's notes.

RETENTION:

Retain until payment is made and then transfer to either series 80716, series 81181 or series 81271.

DISPOSITION:

.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until payment is made and then file moves to new retention.

AGENCY: Labor Commission

SERIES: 81192

TITLE: Future payment files

(continued)

APPRAISAL:

Administrative

This retention is based on agency needs per agency request.

PRIMARY CLASSIFICATION:

Public hearing decisions, orders from the Commission

SECONDARY CLASSIFICATION(S):

Private. all information not otherwise specified

Controlled. psychiatric reports, judges' notes

AGENCY: Labor Commission

SERIES: 14200

3

TITLE: Labor hearings, decisions, and certification records

DATES: 1947-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 2.

AUTHORIZED: 08/08/1994

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 59 years and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Historical

This disposition is based on the secondary historical value to researchers interested in business activities in Utah.

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 22961

3

TITLE: Laws, rules and regulations

DATES: 1917-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These laws, rules and regulations of the Labor Commission (Industrial Commission) are created to supervise and administer employment of women, children and minors; Labor Relations Act; Labor Relations Board; Anti-Discrimination Act; Workmen's Compensation Act; and boiler and pressure vessels.

RETENTION:

Retain 1 year.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/2003

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

AGENCY: Labor Commission

SERIES: 22961

TITLE: Laws, rules and regulations

(continued)

APPRAISAL:

Historical

This retention is based on the value of this material to researchers.

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 6817

3

TITLE: Leave application files

DATES: 1985-

ARRANGEMENT: Alphabetical by surname

ANNUAL ACCUMULATION:

DESCRIPTION:

Application for leave and supporting papers relating to request for and approval of leave.

RETENTION:

Retain 3 year.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 10, Item 29.

AUTHORIZED: 07/13/2015

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

Administrative

AGENCY: Labor Commission

SERIES: 6817

TITLE: Leave application files

(continued)

PRIMARY CLASSIFICATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2015.

AGENCY: Labor Commission

SERIES: 80716

3

TITLE: Lump sum payment files

DATES: 1950-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 6.00 cubic feet.

DESCRIPTION:

These files document lump sum payments awarded to individuals injured in an on-the-job industrial accident. The series includes a description of the injury, how the injury resulted, medical reports, request for hearing, hearing notice, summary of hearing, compensation agreements, order of payment from the Industrial Commission, reimbursement of carrier notice, affidavits, administrator's notes, the amount awarded, date of the payment, and possibly a copy of the check.

RETENTION:

Retain 75 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 11, Item 35.

AUTHORIZED: 06/18/2013

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after payment has been made and then transfer to State Records Center. Retain in State Records Center for 73 years and then destroy.

AGENCY: Labor Commission

SERIES: 80716

TITLE: Lump sum payment files

(continued)

APPRAISAL:

Administrative

This retention period is based on agency need per agency request.

PRIMARY CLASSIFICATION:

Public decisions of hearings, orders from the Commission

SECONDARY CLASSIFICATION(S):

Private. all information included in file not mentioned elsewhere

Controlled. psychiatric evaluations, judges' notes

AGENCY: Labor Commission

SERIES: 82913

3

TITLE: No insurance coverage investigation case files

DATES: 1984-

ARRANGEMENT: alphabetical by name

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These are cases in which an investigation is underway involving adequacy of employers' workers' compensation coverage. If it is discovered that an employer is not properly covered, notices are sent to inform the agency that they must comply with state law in gaining such coverage. If no response is given, more serious action may be taken by the Uninsured Employers' Fund.

RETENTION:

Retain 50 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 10 years after investigation is completed and then transfer to State Records Center. Retain in State Records Center for 40 years and then destroy.

APPRAISAL:

Administrative

This retention is based on agency needs per agency request. Once information has been gathered regarding an employer, that information is valuable for later investigations.

AGENCY: Labor Commission

SERIES: 82913

TITLE: No insurance coverage investigation case files

(continued)

AGENCY: Labor Commission

SERIES: 81186

3

TITLE: No liability case files

DATES: 1970-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 0.20 cubic feet.

DESCRIPTION:

These files document cases in which an individual requesting compensation for an injury or illness sustained on the job appeared in court and was determined ineligible for Second Injury Fund payments. Once the case has been decided, the Second Injury Fund Office receives an order from the Industrial Commission stating that no payment will be made. They include medical reports, requests for hearing, court orders, hearing notices, summaries of hearing, affidavits, administrator's notes, and a notice of no payment from the Industrial Commission.

RETENTION:

Retain 1 year after order for no payment.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after order for no payment by Industrial Commission and then destroy.

AGENCY: Labor Commission

SERIES: 81186

TITLE: No liability case files

(continued)

APPRAISAL:

Administrative

This retention is based on agency needs per agency request. Any information relevant to a possible appeal is kept with the Industrial Commission.

PRIMARY CLASSIFICATION:

Public hearing decisions, orders from the Commission

SECONDARY CLASSIFICATION(S):

Private. all information not otherwise specified
Controlled. psychiatric reports, judges' notes

AGENCY: Labor Commission

SERIES: 81380

3

TITLE: Office files card index

DATES: 1970-

ARRANGEMENT: Alphabetical by type of payment

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These are 5"x 7" index cards grouped according to type of payment. They document each individual currently receiving payment or who has ever received payment from the Second Injury Fund. They are used to locate an individual's file.

RETENTION:

Retain permanently.

DISPOSITION:

Retain in agency custody.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office permanently.

Microfilm master: Retain in Office for 1 year and then destroy provided microfilm has been superseded.

APPRAISAL:

Administrative

These records are considered vital to the agency's function. Backup copies must be maintained. Information contained on all cards referencing payroll cases is also stored on the automated system. Lump sum and all other non-payroll index cards are to be

AGENCY: Labor Commission

SERIES: 81380

TITLE: Office files card index

(continued)

microfilmed yearly.

PRIMARY CLASSIFICATION:

Private

AGENCY: Labor Commission

SERIES: 22962

3

TITLE: On-the-job newsletters

DATES: 1991-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

This series contains newsletters publicizing activities of the Labor Commission (Industrial Commission) with information pertaining to the Commissioner's message, legislation, rules, worker's compensation, employment, working conditions, safety, and discrimination.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 04/18/2003

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

Historical

Publications document agency history and functions. Publications have ongoing research value.

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 81538

3

TITLE: Payroll automated system reports

DATES: 1950-

ARRANGEMENT: Alphabetical by surname

ANNUAL ACCUMULATION: 1.50 cubic feet.

DESCRIPTION:

This automated data system keeps a record of all individuals having received or currently receiving payroll funds from the Second Injury Fund. Every four weeks the payroll report is generated listing the names of individuals being paid and the amount paid. A copy of the report is sent to State Finance for the checks to be issued. Information includes the name of the individual, the vendor number, the weekly amount of payment, the amount paid to date, the date to which payments will be made, and all other types of payments made in the name of a particular applicant (such as payments to insurance carriers, etc.). Information also includes insurance carrier payments, the name of the carriers, the payments to carriers each month, the amount of payment, the vendor numbers, and the name of applicant for whom payment was made. Information relating to medical panel payments includes the name of the doctor or clinic being paid each month, vendor numbers, the amount paid, and the name of the applicant for whom payment was made.

RETENTION:

Retain 10 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 08/2000

AGENCY: Labor Commission

SERIES: 81538

TITLE: Payroll automated system reports

(continued)

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

Computer data files: Retain in Office for 3 years after final payment is made and then delete.

APPRAISAL:

Administrative

PRIMARY CLASSIFICATION:

Private

AGENCY: Labor Commission

SERIES: 6822

3

TITLE: Policies and procedures files

DATES: 1977-

ARRANGEMENT: Alphabetical by subject

ANNUAL ACCUMULATION:

DESCRIPTION:

Policies and procedures that govern the operation and administration of various programs. As of March, 1991, Workers' Compensation Fund no longer participates in the programs and facilities offered by the Utah State Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 70.

AUTHORIZED: 04/10/2015

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until superseded and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Historical

AGENCY: Labor Commission

SERIES: 10836

3

TITLE: Publications

DATES: 1940-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, and other published or processed documents. These records include information on administration, legal matters, fiscal and financial operations, labor, worker's compensation, safety, employment, wages, and all other activities of the Labor Commission (Industrial Commission). Consists primarily of isolated publications not part of a more specific series.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 04/18/2003

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

APPRAISAL:

Historical

Publications document agency history and functions. Publications have ongoing research value.

AGENCY: Labor Commission

SERIES: 10836

TITLE: Publications

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 28521

3

TITLE: Purchasing card and travel card reconciliations

DATES: 2008-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

These records document work-related purchases made by employees using agency-owned credit cards and travel cards. These records are used by the agency to create budget plans and financial reports.

RETENTION:

Retain 7 years after the end of the fiscal year in which they were initiated.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 53.

AUTHORIZED: 06/06/2014

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after the end of the fiscal year they were initiated and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

Administrative Fiscal

AGENCY: Labor Commission

SERIES: 28521

TITLE: Purchasing card and travel card reconciliations

(continued)

PRIMARY CLASSIFICATION:

Public

Utah Code 63G-2-301(3)(e) 2014

AGENCY: Labor Commission

SERIES: 81273

3

TITLE: Reimbursement case files

DATES: 1970-

ARRANGEMENT: Alphabetical by insurance carrier

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These files document reimbursements from the Second Injury Fund to an insurance carrier or employer after that source has made payments towards an industrial injury of an individual. Payment is made upon receipt of a request for reimbursement from the agency. Information includes a description of the injury, medical reports, a request for hearing, hearing notices, summaries of hearings, affidavits, administrator's notes, the amount of payment, compensation agreements, an order for payment from the Labor Commission, an order for reimbursement from the Second Injury fund, and a request for reimbursement.

RETENTION:

Retain 20 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 08/2000

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 18 years and then destroy.

AGENCY: Labor Commission

SERIES: 81273

TITLE: Reimbursement case files

(continued)

APPRAISAL:

Administrative

This retention and disposition is based on the needs of the agency. Once payment has been made, the files are only needed for documentation purposes. If no order of payment is received within five years, the record will be destroyed and payment will not be made.

PRIMARY CLASSIFICATION:

Public hearing decisions, orders from the Commission

SECONDARY CLASSIFICATION(S):

Private. all information not otherwise specified
Controlled. psychiatric reports

AGENCY: Labor Commission

SERIES: 82519

3

TITLE: Self-insured company files

DATES: 1950-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These files document local companies who are self insured for Workers' Compensation coverage. They include information regarding the company, such as types of operation and various annual reports; statistical information regarding the number of employees and number of accidents per year; statements ascertaining self insured status; and all related correspondence.

RETENTION:

Retain 45 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 42 years and then destroy.

APPRAISAL:

Administrative

This retention is based on agency needs per agency request.

AGENCY: Labor Commission

SERIES: 82519

TITLE: Self-insured company files

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 82521 3

TITLE: Thirty-days-in-advance notices of cancellations of workers' compensation insurance policies

DATES: 1950-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These are notices to a company by the insurance carrier stating that their workers' compensation coverage will be dropped in thirty days if no response is given. Notice of this event must be given to the employer and to the Uninsured Employers' Fund. These files are maintained in the office to document the fact that the notice was sent as prescribed in case of dispute over cancellation at a later date.

RETENTION:

Retain 15 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 12 years and then destroy.

AGENCY: Labor Commission

SERIES: 82521

TITLE: Thirty-days-in-advance notices of cancellations of workers' compensation insurance policies

(continued)

APPRAISAL:

Administrative

These notices need to be maintained for a short time to ascertain that a notice was sent out thirty days prior to cancellation of an employer's policy in the event a dispute arises.

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 28523

3

TITLE: Travel card reconciliations

DATES: 2008-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

These records document the air line ticket purchases made by Labor Commission employees for travel required to fulfill their assignments.

RETENTION:

Retain 3 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 44.

AUTHORIZED: 06/04/2014

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

Administrative Fiscal

AGENCY: Labor Commission

SERIES: 28523

TITLE: Travel card reconciliations

(continued)

PRIMARY CLASSIFICATION:

Public

Utah Code 63G-2-301(3)(e) 2014

AGENCY: Labor Commission

SERIES: 82906

3

TITLE: Uninsured employer fund cases on appeal

DATES: 1984-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

These documents are generated by the Uninsured employer fund. These are employers who have no worker's compensation insurance. This program gets authorization from UCA 34-A-2-704. These files document cases in which an employer has been to hearing regarding insufficient workers' compensation insurance coverage and has decided to appeal the decision of the hearing to a higher court. The cases involve individuals who had sustained an industrial accident and had attempted to claim workers' compensation benefits from the employer. The files include medical reports, hospital bills, attorneys' notes, medical releases, corporation and other employer information, any liens on employers' property, orders for hearing, orders to the Fund for payment or non-payment, judges' notes, and all related correspondence.

RETENTION:

Retain 50 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 6 months after case is closed and then transfer to State Records Center. Retain in State Records Center for 50 years and then destroy.

AGENCY: Labor Commission

SERIES: 82906

TITLE: Uninsured employer fund cases on appeal

(continued)

APPRAISAL:

Administrative

This retention is based on agency needs per agency request. When an investigation is undertaken on an employer and all the information necessary has been compiled to determine responsibility for workers' compensation payments to the individual, this information is valuable for the lifetime of the employee. The information should be maintained in case of a recurring problem.

PRIMARY CLASSIFICATION:

Public all final decisions

SECONDARY CLASSIFICATION(S):

Private. all other information
Controlled. judges' notes, psychiatric information

AGENCY: Labor Commission

SERIES: 19967

3

TITLE: Voucher registers

DATES: undated

ARRANGEMENT: none

ANNUAL ACCUMULATION:

DESCRIPTION:

Two voucher registers showing month and day (but no year), name and address of who was issued the voucher, voucher number, and voucher amount.

RETENTION:

Retain 7 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 20.

AUTHORIZED: 04/17/1998

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Records Center for 7 years and then destroy.

APPRAISAL:

AGENCY: Labor Commission

SERIES: 19967

TITLE: Voucher registers

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Labor Commission

SERIES: 82516

3

TITLE: Workers' compensation insurance carrier cards

DATES: 1970-

ARRANGEMENT: numerical by index number, thereunder alphabetical by name

ANNUAL ACCUMULATION:

DESCRIPTION:

These cards represent the second format which Workers' Compensation Insurance coverage information was received by the state. Each company in the state of Utah is required to maintain Workers' Compensation coverage for its employees and is required to notify the Uninsured Employers' Fund of this coverage. These cards were used to keep track of this information. They are filed by index number. At one time, a project was started to microfilm the cards; about one fourth of which were actually filmed. Cards which became inactive during this time (by notification of cancellation of the policies) were moved to a different filing system, but were still referenced according to their old index numbers. In 1985 the card system was replaced by an automated system, but many companies continued to send in cards containing their Workers' Compensation Insurance information. Some of this information is not contained on the computer tapes, and thus is kept in the card format. These cards are also maintained in a separate filing system, and are filed alphabetically by the name of the company. All cards contain the name of the company, the insurance carrier through which they are covered, the policy number, and the date coverage began.

RETENTION:

Retain 45 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

AGENCY: Labor Commission

SERIES: 82516

TITLE: Workers' compensation insurance carrier cards

(continued)

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 15 years and then transfer to State Records Center. Retain in State Records Center for 30 years and then destroy.

Microfilm master: Retain in Office for 15 years after initial receipt of information and then transfer to State Records Center. Retain in State Records Center for 30 years and then destroy.

APPRAISAL:

Administrative

These files document insurance coverage for companies which may now be nonexistent or covered under a different name or insurance carrier. They are the only source of this information for these dates. Once they are destroyed, the insurance coverage history will be lost, and any employee returning with a job related condition will have no record of coverage. In this case, the employee must be covered out of public funds by the Uninsured Employers' Fund.

AGENCY: Labor Commission

SERIES: 82517

3

TITLE: Workers' compensation insurance information automated data system

DATES: 1985-

ARRANGEMENT: Alphabetical by name, thereunder chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

This is an automated system established by the Uninsured Employers' Fund to keep track of workers' compensation insurance coverage by employers in the state of Utah. The information is received in the form of a computer tape from the National Service and from the Workers' Compensation Fund of Utah. The National Service is the agency which employers notify directly when establishing, changing, or canceling workers' compensation insurance coverage. The information is entered on line and sent to the Uninsured Employers' Fund directly, where it is processed and maintained.

RETENTION:

Retain 60 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Computer data files: Retain in Office for 15 years and then transfer to tape.

Computer magnetic storage media: Retain in Office for 45 years and then erase.

AGENCY: Labor Commission

SERIES: 82517

TITLE: Workers' compensation insurance information automated data system

(continued)

APPRAISAL:

Administrative

This retention is based on agency needs per agency request.